7-40-1 PS&E Submittal Process

Updated December 1, 2021

1.1 Originator

Project Development Section

1.2 Introduction

This section outlines the steps included in the Southwest Region PS&E submittal process for WisDOT projects on both the state system and the Local Program. This information supplements instructions included in FDM 19-10. Unless otherwise specified, the action is by the in-house design team. The process is considered "Complete" once ALL steps 1-9 have been performed. A detailed discussion of each step is included in subsection **1.3 Process**. A best practice is to document all coordination activities throughout the process by placing a copy of any e-mail communication in the project folder on Box.

____ **Step 1 - Place finalized PS&E documents in the "\designID\Design\PS&E\Final\" folder on Box.**

____ **Step 2 - Notify PS&E and FIIPS Coordinators that documents are ready for final review.**

____ **Step 3 - Update Region level information in the pseTrak application.**

____ **Step 4 - E-submit documents to Central Office (for in-house projects this may be performed by either design team or PS&E Coordinator).**

____ **Step 5 - Notify Region that PS&E was submitted to Central Office.**

~~____ **Step 6 - Place copy of design documents in the "\constructionID\DesignLinks\" folder on Box.**~~ ***(working on possible alternatives)***

____ **Step 7 - Update PMP.**

____ **Step 8 - Remind consultants to submit project digital data to the Region.**

____ **Step 9 - Review, organize, and cleanup project documents in project directory (Box) and Region Central Files.**

1.3 Process

The final PS&E submittal process should begin as soon after the Pre-PS&E review meeting as possible, but no later than 7 calendar days prior to the scheduled PS&E date. If the 7-day deadline is not going to be reached, notify the PS&E and FIIPS Coordinators and provide a date of when the documents will be completed. Certain documents are more time critical in the final review process and should be considered the priority. These include the Plan Letter, Proposal Level Preliminary Detail Estimate Report (AWP- Estimate), Signed Title Sheet, Contract Time for Completion, and the Quantities Data Update Form.

Step 1 - Place finalized PS&E documents in the "\designID\Design\PS&E\Final\" folder on Box.

Required documents include SW Region specific files as shown in the Region-Specific PS&E Exhibits and standard PS&E exhibits as shown in FDM 19-10 Table 1.1. For projects with multiple lets, create a subfolder using the project construction ID for each let for the subfolder name.

Step 2 - Notify PS&E and FIIPS Coordinators that documents are ready for final review.

Send notification to the PS&E and FIIPS Coordinators that the files, identified in Step 1, are in the project directory and ready for final review using the e-mail template PS&E and FIIPS Coordinators Initial Notification.

Once the initial notification is sent, it is assumed all documents are final. The design team is responsible to communicate any changes, after the initial notification.

Step 3 - Update Region level information in the pseTrak application.

Update Region Level project status for the following items in the PS&E tracking system pseTrak *(link available to internal staff only)*. The term "complete" means all 6 items (a through f) are addressed at the Region level in pseTrak by the appropriate section with either a clear check box or an exception entered into the system. Do not enter exceptions for pending items on advanceable projects. Instead, place a discussion in the "Notes" section of pseTrak on the status of the item and an anticipated clear date.

a. 401 (DNR Water Quality Cert), Entered by PDS-PM

b. COE (404 Permit), Entered by PDS-PM

c. TMP, Entered by PDS-PM

d. RE, Entered by PDS-PM if no acquisitions, otherwise entered by Real Estate Section

e. RR Eng, Entered by Railroad Coordinator

f. UTL, Entered by Utility Coordinator

For items a through c, if the item cannot be cleared prior to the PS&E submittal date, the PDS-PM or Local Program Project Manager (LPPM) is responsible for creating the exception and monitoring the progress until such time the exception can be cleared. If the exception cannot be cleared two weeks prior to the Ad Meeting, the PDS-PM will email the PDS Chief to discuss the details of the exception and make a recommendation on whether an active exception should be approved.

For items d through f, if the item cannot be cleared prior to the PS&E submittal date, the appropriate TSS representative is responsible for creating the exception and monitoring the progress of the item until such time the exception can be cleared. If the exception cannot be cleared two weeks prior to the Ad Meeting, the TSS representative will email the PDS Chief & TSS Chief to discuss the details of the exception and make a recommendation on whether an active exception should be approved. Although items d through f are the responsibility of TSS, the PDS-PM should continue to monitor the status of any outstanding items.

Step 4 - E-submit documents to Central Office.

The PS&E and FIIPS Coordinators will notify the design team when their review has been completed and if any changes to the documents are required. Once documents are ready, they can be e-submitted to Central Office. For in-house led projects that include a completed E-submit Transmittal Form, the documents will be e-submitted by the PS&E Coordinator. In all other cases, the design team will be responsible for e-submitting the documents and placing a copy of all submitted documents in the directory on Box.

For consultant-led projects, the WisDOT PM will receive a confirmation email when the consultant e-submits the project files to Central Office. The e-submit confirmation email includes a link to the Central Office network folder where the documents have been uploaded. The WisDOT PM will need to copy the PS&E documents and paste them into the project “Submittal” folder.

For design projects with multiple lets, create a subfolder using the project construction ID for each subfolder name.

FDM 19-10-1 includes instructions for the e-submit submittal process. Consultants are responsible for e-submitting their own projects.

Note: When e-submitting an advanceable project, check the box next to “ExLET” for the “Let Date” field on the e-submit transmittal form.

Step 5 - Notify Region that PS&E was submitted to Central Office.

Once the documents have been e-submitted, place a copy of the submitted documents in the “Submittal” folder and send notification to the other region sections using the appropriate e-mail template La Crosse Office PS&E Submittal Notification or Madison Office PS&E Submittal Notification.

~~Step 6 - Place copy of certain design documents in the “Construction\DesignDocs\” on the P: drive.~~ ***(working on possible alternatives)***

~~Place copies of all required design documents, as shown in~~ Region-Specific Design Documents for Construction Folder~~, in the project directory under the “\Construction\DesignDocs\” folder. The full name of the folder location for each office is listed below. Note, you may need to add the Design Docs folder if it was not already created.~~

Step 7 - Update PMP

Update PMP “Percent Project Work Complete” and PMP Phase as shown in Table 1.1 below.

Table 1.1 – Percent Project Work Complete and PMP Phase Advancement Based on PS&E Type

PS&E Type	Percent Project Work Complete	PMP Phase
Regular with a single PS&E submittal.	100%	"Project Award"
Regular with multiple years of PS&E submittals.	Keep the "Percent Project Work Complete" under 100% until the last PS&E is submitted.	Keep PMP Phase at "PS&E" until the last PS&E is submitted at which time advance PMP Phase to "Project Award."
*Advanceable with a single PS&E submittal.	100%	"PS&E"
*Advanceable with multiple years of PS&E submittals.	Keep the "Percent Project Work Complete" under 100% until the last advanceable PS&E is submitted.	"PS&E"

*Note: For advanceable projects, advance the PMP Phase to "Project Award" when the project is resubmitted for an actual LET date.

Step 8 – Remind consultants to submit project digital data to the Region.

Consultant contracts include language in the special provisions under **PLANS, SPECIFICATIONS, & ESTIMATES (PS&E)** that they are required to provide the Department Highway Project Data in a digital format.

FDM 19-10-43 provides additional information on what is required.

Step 9 – Review/organize/file/cleanup project documents in project directory (Box) and Region Central Files

Review the office design file guidance and file the required signed originals in Regional Office Central File. It is not necessary to printout the document and file a paper copy in the Region Central file if it exists only in an electronic format if the electronic file is clearly identified and easy to find in the project directory. The guidance for each office is listed below:

- Madison office: MAD Central File Checklist
- La Crosse office: LAX Central File Checklist

Review, organize, and cleanup project electronic files in the project directory. Keep any files required by the guidance and open record laws. Delete any extraneous information that is no longer needed.

1.4 References

FDM 19-10

Region-Specific PS&E Exhibits

Region-Specific Design Documents for Construction Folder

PS&E and FIIPS Coordinators Initial Notification

pseTrak *(link available to internal staff only)*

E-submit Transmittal Form

La Crosse Office PS&E Submittal Notification

Madison Office PS&E Submittal Notification

MAD Central File Checklist

LAX Central File Checklist

PS&E Coordinator Assignments

Program Controls Design Engineer - John VonRuden, john.vonruden@dot.wi.gov

PS&E Coordinator - Sharayah Sikkema, sharayah.sikkema@dot.wi.gov

PS&E Coordinator - Brandi Workman, brandi.workman@dot.wi.gov

FIIPS Coordinator - Becky Haller, rebecca.haller@dot.wi.gov

FIIPS Coordinator - Joseph Whirry, joseph.whirry@dot.wi.gov

FIIPS Coordinator - Theresa Burkeland, theresa.burkeland@dot.wi.gov

Local Program Project Manager - Lorraine Betzel, lorraine.betzel@dot.wi.gov

Local Program Project Manager - Brandan Burger, brandon.burger@dot.wi.gov

Local Program Project Manager - Valerie Guider, valerie.guider@dot.wi.gov

Local Program Project Manager - Zachary Pearson, zachary.pearson@dot.wi.gov

John VonRuden	*11/21/2014*
Author	Date

7-40-5 Estimate Uploads

Updated May 12, 2021

5.1 Originator

Project Development Section

5.2 Introduction

This section outlines and defines the process for submitting cost estimate data into AASHTOWare Project Preconstruction (AWP), as required as part of the PS&E submittal noted in FDM 19-10 Table 1.1.

5.3 Process

Project staff will prepare estimate documentation per FDM 19-5-5.5 in either AASHTOWare Project Estimator (Estimator) or in Quantities 2 Plans (Q2P).

Discussion of the relative merits of these applications can be found in SWIG 7-10.

As part of the PS&E process, data must be transferred from the application that was utilized to develop the estimate documentation to AWP. This is often most efficiently done with the use of an export file (in .XML format) to minimize the errors due to the hand copying of data.

5.3.1 Estimator

See FDM 19-5-10 for guidance on exporting from Estimator to AWP.

5.3.2 Q2P

See Chapter 15 of the Q2P User's Guide for guidance on creating the .XML file from Q2P.

5.3.3 Upload to AWP

See FDM 19-5-10 for guidance uploading the .XML file into AWP.

For external staff, this work is performed by the design team as a part of the PS&E process.

For internal staff, this work is either performed by the design team or the PS&E Coordinator.

5.3.4 Verification

See FDM 19-5-10 for guidance on checks to perform prior to submittal.

Make sure to check the total quantities and cost with other project files. Pay particular attention to items with a portion of a unit (such as tenths or hundredths) or too precise estimated unit costs (anything more precise than hundredths of a dollar) as these may lead to rounding errors.

5.4 References

WisDOT AASHTOWare Project Application Page

WisDOT Q2P Application Page

AWP Knowledge Base

PS&E Coordinator - Sharayah Sikkema, sharayah.sikkema@dot.wi.gov

PS&E Coordinator - Brandi Workman, brandi.workman@dot.wi.gov

Paul Valenti	*10/24/2016*
Author	Date

7-40-10 Special Provisions and Specification Modifications Region Library

Updated June 5, 2019

10.1 Originator

Project Development Section

10.2 Introduction

The region has compiled a list of commonly used Special Provisions (SPV) and Specification Modifications (Spec Mods) for PDS staff to use during design. The library was created for a couple of reasons. First, to create more consistency on how articles are written and consistency on how the contractor may bid that particular work. Secondly, to help identify commonly used SPV's that may, in the future, be converted to STSP's or bid items.

For further information on Special Provisions and Specification Modifications see FDM 19-15.

10.3 Process

The region SPV and Spec Mod library can be accessed by going to the Region Special Provisions Search website and conducting a search for a particular article or by going directly to the Region SPV Table of Contents. Once the desired article is located, copy and paste the language into the appropriate location (towards the end of the document) of the STSP template. The STSP template can be found on the DOT Standardized Special Provisions website.

The articles in the library contain SPV numbers similar to the numbering attached to the end of the STSP articles. The number starts with three letters "swr", followed by two sets of numbers separated by a hyphen. The first set of numbers represents the corresponding area of the Standard Specifications similar items are found and the second set of numbers is simply a chronological list. The date the article was originally created or last updated is shown following the SPV and is contained inside parentheses in the year/month/date format.

For example: swr-416-002 (20160601)

The SPV number above suggests that the article relates to the language contained in Standard Spec 416 and it is the second article in the library that corresponds to that section.

In the event the language in an article in the library needs to be changed for a particular project, the SPV number should be removed prior to the PS&E submittal.

If it is discovered that updates to the articles are needed, contact the Program Controls Design Engineer.

10.4 References

FDM 19-15

Region Special Provisions Search website

Region SPV Table of Contents

DOT Standardized Special Provisions website

Program Controls Design Engineer - Mike Rud, michael.rud@dot.wi.gov

Mike Rud	*10/3/2017*
Author	Date

7-40-15 Bid Item Guidance *January 28, 2021*

15.1 Originator

Project Development Section

15.2 Introduction

This section provides guidance on when to include certain bid items into your contract. The goal is to develop consistency in the production of highway improvement project plans and estimates along with obtaining uniformity in bidding practices and to use the right bid item correctly for a given situation.

15.3 Process

The Bid Item Guidance for Shoulder Work Document provides details on bid items and examples of when to include each item when doing work to the roadway shoulder. This document was originally created by the NE Region.

15.4 References

Bid Item Guidance for Shoulder Work Document

FDM 19-5-3 Bid Item Guidance

Mike Rud *1/28/2021*
Author Date

7-40-20 Estimate Documentation *date*

20.1 Originator

This section has not yet been written.

20.2 Introduction

20.3 Process

20.4 References

J. Doe *1/7/2015*
Author Date

7-40-25 Advanceable Projects *date*

25.1 Originator

This section has not yet been written.

25.2 Introduction

25.3 Process

25.4 References

5/17/2018
Author Date

7-40-30 DT25 Recommendation to Governor for Contract and Bond Approval Guidance *Updated June 26, 2018*

30.1 Originator

Project Development Section

30.2 Introduction

The Bureau of Project Development (BPD) has provided information on what should be included in the DT 25, *Recommendation to Governor for Contract and Bond Approval*. This section provides a summary of that information to help region staff complete the form. This section supplements FDM 19-10-20.

30.3 Process

Consider the following when completing the form.

- Keep description of work general. Addressing specific ancillary items are not needed.
- If there is a reconstruction of an intersection, just state that. Specific intersection type not needed.
- For bridge projects include the following:
  - Replace the existing XX' long (bridge type) bridge built in 19XX with a XX' long (bridge type) bridge on roadway over the waterway/railroad/other in the (Municipality)
  - In the *Consequences if not Approved* section:
    - Continued deterioration of the existing bridge will lead to increase maintenance costs and unsafe conditions for motorists.
  - Do not include a description of each individual bridge if there are multiple bridges. Instead, do an overall statement of the proposed bridge work on the project.

BPD has provided examples of DT25 filled out for different project types for reference. BPD DT25 Examples

30.4 References

FDM 19-10-20

BPD DT25 Examples

Program Controls Design Engineer - John VonRuden, john.vonruden@dot.wi.gov

Program Controls Design Engineer - Mike Rud, michael.rud@dot.wi.gov

John VonRuden & Mike Rud	*5/17/2018*
Author	Date